

IVV 13: Waiver Process

Version: D

Effective Date: November 16, 2021

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Note: The official version of this document is maintained in IV&V's internal IV&V Management System Website (<http://confluence.ivv.nasa.gov:8445/display/IMS>). This document is uncontrolled when printed.

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Purpose

The purpose of this system level procedure (SLP) is to explain the typical life cycle of an IMS Waiver and to define a consistent method for requesting and obtaining approval for waiving part or all of a procedure or requirement. The item being waived will be referred to as a “requirement” for the purposes of this SLP.

Scope

This SLP applies to any IMS User seeking to waive an IMS requirement with proper justification and approval where deemed allowable.

Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

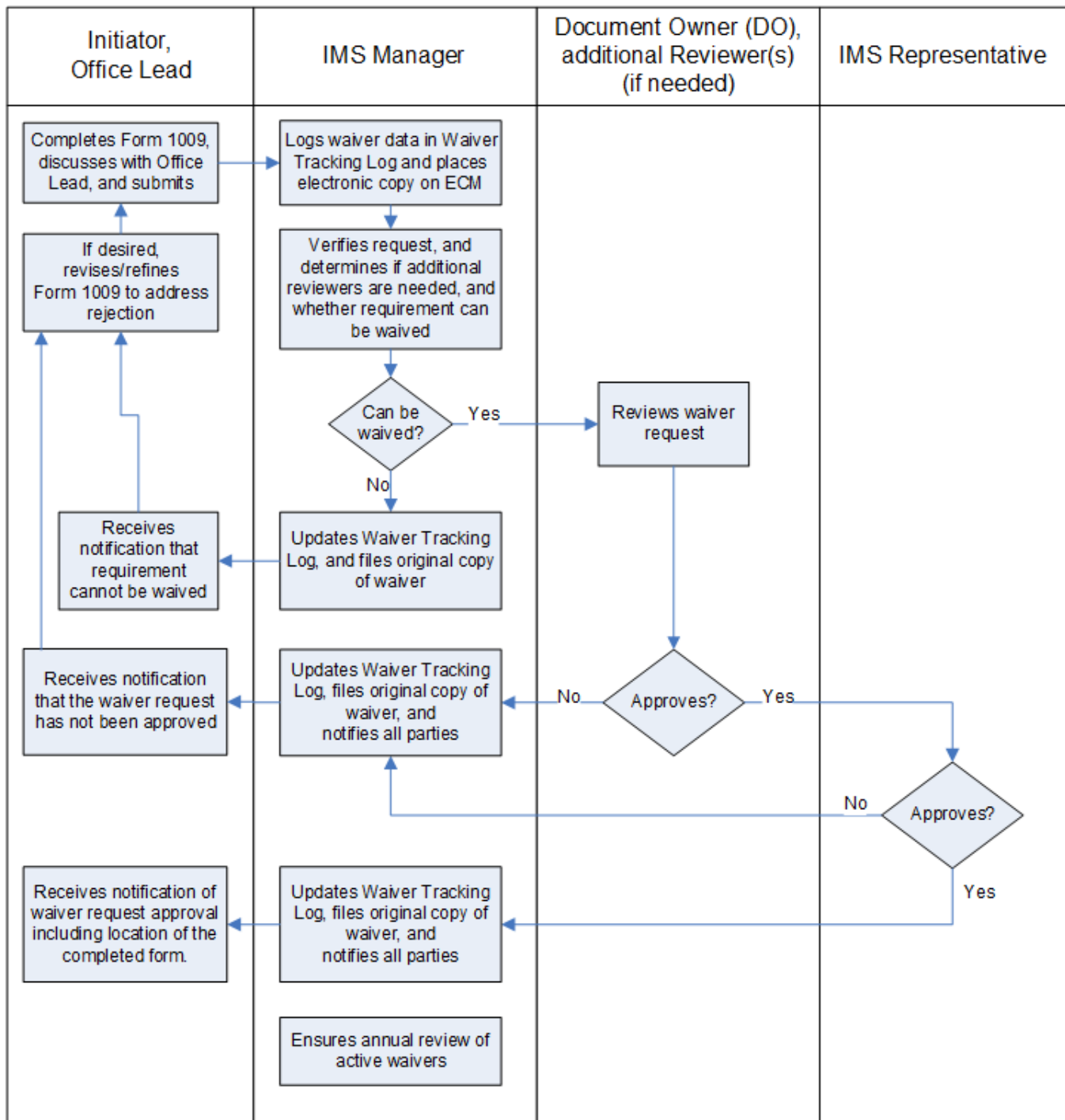
- **Initiator**
 - The Initiator is an IMS User that initiates a request for a waiver against an IMS requirement. The IMS Representative may not serve as the Initiator, but may have his/her designee initiate a waiver against the requirement.
- **Reviewer**
 - The Reviewer is an additional party who may be asked to review the waiver request.

Acronyms

| | |
|-------|---|
| DO | Document Owner |
| ECM | Enterprise Content Management |
| IMS | NASA IV&V Management System |
| NODIS | NASA Online Directives Information System |
| NPR | NASA Procedural Requirements |
| QM | Quality Manual |
| PDF | Portable Document Format |
| SLP | System Level Procedure |

Process Flow Diagram

The following diagram depicts the process described in this document, and the responsibilities and actions that shall be performed by process participants or their designees. Any information supplemental to the depicted process will appear after the diagram.



IVV 13 Process Flow Diagram 2017-12-27.vsd

When an IMS User needs to waive a whole or part of a requirement in the IMS, the user (the Initiator) shall complete [Form 1009, Waiver Request and Approval](#), and forward to the IMS Manager.

The IMS Manager shall log the waiver information into the Waiver Tracking Log. The Document Owner (DO) is a required reviewer. If the DO is not the Office Lead, the IMS Manager shall ensure the Office Lead is aware of the waiver request. The IMS Manager shall determine whether the waiver affects any additional requirements. If so, additional Reviewer(s) (e.g. DOs for other documents) shall be included. The IMS Manager shall forward the request to the DO, Office Lead, and any additional Reviewers. The Reviewers shall:

1. Confirm the requirement(s) are affected by the waiver request.
2. Confirm the waiver request is clear.
3. Confirm the waiver is sustainable for the duration of the waiver period.
4. Determine acceptability of the waiver, including any potential negative effects.

The Initiator, DO, and any Reviewers are required to sign and date the waiver request first. The IMS Manager shall then submit the request to the IMS Representative for approval.

The DO, all Reviewers, and the IMS Representative must approve the request in order for the waiver to be accepted. If the request is approved, the IMS Representative shall notify the Initiator, DO, Office Lead, IMS Manager, and all Reviewers. The Initiator should consider writing a risk if there will be a potential negative impact caused by not fully meeting the requirement(s).

If the request is not approved, the IMS Manager shall notify all parties including the Initiator of the decision and the rationale for the decision.

In the event of a conflict, the IMS Representative shall have final approval authority of the waiver request.

The IMS Manager shall update the Waiver Tracking Log, and file the original form.

In the event of a change to the requirement during the waiver period, the IMS Manager shall ensure the waiver is properly reviewed by the effected parties for continued applicability. The IMS Manager shall update the Waiver Tracking Log and notify all affected parties as appropriate.

Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

Records

The following records will be generated or updated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NASA Procedural Requirements (NPR) 1441.1, *NASA Records Management Program Requirements*.

| Record Name | Original | Essential | Responsible Person | Retention Requirement | Location |
|---------------------------------------|----------|-----------|--------------------|------------------------------------|-----------------------|
| Waiver Tracking Log | Y | N | IMS Manager | Destroy when 7 years old (1/26.5A) | ECM System |
| Waiver Request and Approval Form 1009 | Y | N | IMS Manager | Destroy when 7 years old (1/26.5A) | ECM and Filing System |
| | | | | | |

References

| REFERENCES | |
|---------------------------|---|
| Document ID/Link | Title |
| Form 1009 | Waiver Request and Approval |
| ISO 9001 | International Organization for Standardization: Quality Management Systems Requirements |
| IVV QM | NASA IV&V Quality Manual |
| IVV 16 | Control of Records |
| NPR 1441.1 | NASA Records Management Program Requirements |
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If any procedure, method, or step in this document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any external reference shall be monitored by the Document Owner for current versioning.

Version History

| VERSION HISTORY | | | | |
|---------------------------------|-----------------------|----------------------|---------------------------------------|---|
| V e r s i o n | Description of Change | Rationale for Change | A u t h o r | E f f e c t i v e D a t e |
| B a s i c | Initial Release | | R o b y n B u dd | 7 / 1 3 / 2 0 10 |

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|---|--|---|--|--|
| A | Increased clarity; in Section 4.0 flow and narration. Updated definition of Reviewer. Added Waiver Tracking Log to Records Table. IMS Manager updates Waiver Tracking Log and files all Form 1009's. | Annual Document Review. There are a number of opportunities to increase clarity by being specific about who has responsibility for performing certain actions. | J e ff r e y N o r t h e y | 7 / 2 5 / 2 0 13 |
| B | Clarify various portions: 1) IMS Manager determines which SLP's the waiver affects. 2) Remove "without negative impact" in Purpose. 3) The waiver period (duration) is mandatory. 4) Should the retention period start at the expiration of a waiver? 5) Did not reword process flow to add "review and approve" by Initiator, PO, and Reviewers before forwarding to IMS Representative - on page 4 paragraphs 3 and 4. | PAR Number: 2014-P-416. 1) PO may not have as extensive knowledge of IMS. 2) "without negative impact", conflicts with "writing a risk" in process (section 4). 3) A default waiver period is not needed or practical. 4) Yes. 5) "sign and date" is analogous to "review and approve". | J e ff r e y N o r t h e y | 1 2 / 2 / 2 0 14 |
| C | Add Office Lead to review process. Update ISO 9001 version to 2015. | Include the role of the office lead, specifically on the front end of the process to ensure that an IMS user has a discussion with their Office Lead on the proposed waiver to get their thoughts as well as ensure awareness by the Office Lead. On the mid/back end having the Office Lead be notified of the disposition (Y or N) is also a desirable thing. | J e ff r e y N o r t h e y | 1 0 / 2 7 / 2 0 17 |
| D | Removed unnecessary references to ISO 9001. | IV&V is no longer maintaining ISO 9001 certification. | J o s h u a B e ll | 1 1 / 1 6 / 2 0 21 |
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